

12/29/00  
U.S. PTO  
1995

01-03-01

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
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**UTILITY PATENT APPLICATION TRANSMITTAL**  
(Only for new nonprovisional applications under 37 CFR 1.53(b))

**Attorney Docket No.** 05284.P001  
(maximum 12 characters)

**First Named Inventor** Dickstein, et al.

**Title:** SYSTEM AND METHOD TO ORGANIZE AND MANAGE CORPORATE  
CAPITALIZATION AND SECURITIES

**Express Mail Label No.** EL672754585US

1995 U.S. PRO  
09/152650

12/29/00

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, D. C. 20231

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  **Fee Transmittal Form (e.g., PTO/SB/17)**  
(Submit an original, and a duplicate for fee processing)
2.  **Applicant Claims Small Entity Status. (37 CFR 1.27)**
3.  **Specification (Total Pages 39)**  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  **Drawings(s) (35 USC 113) (Total Sheets 11)**
5.  **Oath or Declaration (Total Pages 4)**
  - a.  Newly Executed (Original or Copy)
  - b.  Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 17 completed)
    - i.  **DELETIONS OF INVENTOR(S)** Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
    - c.  Unsigned.
6.  **Application Data Sheet. (37 CFR 1.76)**
7.  **CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)**
8.  **Nucleotide and/or Amino Acid Sequence Submission**  
(if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b.  Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9.  **Assignment Papers (cover sheet & documents(s))**

10.  a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)

11.  b. Power of Attorney

12.  English Translation Document (if applicable)

13.  a. Information Disclosure Statement (IDS)/PTO-1449

14.  b. Copies of IDS Citations

15.  **Preliminary Amendment**

16.  **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**

17.  Certified Copy of Priority Document(s) (if foreign priority is claimed)

18.  **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**

19.  Other: Express Certificate of Mailing

**18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:**

Continuation  
Of Prior Application No.: \_\_\_\_\_  Divisional  
Examiner \_\_\_\_\_  Continuation-in-part (CIP)  
Group Art Unit \_\_\_\_\_

(which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_,  
which is a  continuation/  divisional/  CIP of prior application no. \_\_\_\_\_) (List entire chain of priority)

**For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**

**18B. Statement under 37 CFR 3.73(b) for continuing application:**

The undersigned states that \_\_\_\_\_ (name of assignee) is  
the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an  
assignment recorded in the Patent and Trademark Office at Reel. No. \_\_\_\_\_ Frame No. \_\_\_\_\_  
(or a copy of which is attached).

**19. Correspondence Address**

Customer Number or Bar Code Label \_\_\_\_\_  
or \_\_\_\_\_ (Insert Customer No. or Attach Bar Code Label here)  
 Correspondence Address Below

NAME James H. Salter

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard

Seventh Floor

CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (408) 720-8300 FAX (408) 720-9397

Name (PRINT/TYPE): James H. Salter Registration No.: 35,668

Signature: Salter Date: 12/29/00

## FEE TRANSMITTAL FOR FY 2001

TOTAL AMOUNT OF PAYMENT (\$) \$1,914.00

## Complete if Known:

Application No. Not Yet AssignedFiling Date Not Yet AssignedFirst Named Inventor Dickstein, et al.Group Art Unit Not Yet AssignedExaminer Name Not Yet AssignedAttorney Docket No. 05284.P001

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-0666  
 Deposit Account Name

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

2.  Payment Enclosed:

Check  
 Money Order  
 Other

## FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity			
Fee	Fee	Fee	Fee	
Code	(\$)	Code	(\$)	<u>Fee Description</u>
101	710	201	355	Utility application filing fee
106	320	206	160	Design application filing fee
107	490	207	245	Plant filing fee
108	710	208	355	Reissue filing fee
114	150	214	75	Provisional application filing fee

SUBTOTAL (1) \$ 710.002. EXTRA CLAIM FEES

	<u>Extra Claims</u>	<u>Fee from below</u>	<u>Fee Paid</u>
Total Claims	<u>78</u>	<u>- 20** = 58</u>	<u>X \$18.00 = \$1,044.00</u>
Independent Claims	<u>5</u>	<u>- 3** = 2</u>	<u>X \$80.00 = \$ 160.00</u>
Multiple Dependent			<u>=</u>

\*\*Or number previously paid, if greater; For Reissues, see below.

Large Entity Small Entity

Fee	Fee	Fee	Fee	<u>Fee Description</u>
Code	(\$)	Code	(\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) \$ 1,204.00

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

<u>Large Entity</u>		<u>Small Entity</u>			
Fee	Fee	Fee	Fee	<u>Fee Description</u>	<u>Fee Paid</u>
Code	(\$)	Code	(\$)		
105	130	205	65	<b>Surcharge - late filing fee or oath</b>	_____
127	50	227	25	<b>Surcharge - late provisional filing fee or cover sheet</b>	_____
139	130	139	130	<b>Non-English specification</b>	_____
147	2,520	147	2,520	<b>For filing a request for reexamination</b>	_____
112	920*	112	920*	<b>Requesting publication of SIR prior to Examiner action</b>	_____
113	1,840*	113	1,840*	<b>Requesting publication of SIR after Examiner action</b>	_____
115	110	215	55	<b>Extension for response within first month</b>	_____
116	390	216	195	<b>Extension for response within second month</b>	_____
117	890	217	445	<b>Extension for response within third month</b>	_____
118	1,390	218	695	<b>Extension for response within fourth month</b>	_____
128	1,890	228	945	<b>Extension for response within fifth month</b>	_____
119	310	219	155	<b>Notice of Appeal</b>	_____
120	310	220	155	<b>Filing a brief in support of an appeal</b>	_____
121	270	221	135	<b>Request for oral hearing</b>	_____
138	1,510	138	1,510	<b>Petition to institute a public use proceeding</b>	_____
140	110	240	55	<b>Petition to revive unavoidably abandoned application</b>	_____
141	1,240	241	620	<b>Petition to revive unintentionally abandoned application</b>	_____
142	1,240	242	620	<b>Utility issue fee (or reissue)</b>	_____
143	440	243	220	<b>Design issue fee</b>	_____
144	600	244	300	<b>Plant issue fee</b>	_____
122	130	122	130	<b>Petitions to the Commissioner</b>	_____
123	50	123	50	<b>Petitions related to provisional applications</b>	_____
126	240	126	240	<b>Submission of Information Disclosure Stmt</b>	_____
581	40	581	40	<b>Recording each patent assignment per property (times number of properties)</b>	_____
146	710	246	355	<b>For filing a submission after final rejection (see 37 CFR 1.129(a))</b>	_____
149	710	249	355	<b>For each additional invention to be examined (see 37 CFR 1.129(b))</b>	_____
179	710	279	355	<b>Request for Continued Examination (RCE)</b>	_____
169	900	169	900	<b>Request for expedited examination of a design application</b>	_____

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3) \$ 0**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**Typed or Printed Name: James H. SalterSignature: James H. Salter Date: 12/29/00Reg. Number: 35,668 Telephone Number: (408) 720-8300